

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Michael Malcolm

Serial No. 09/093,533

Filed: June 8, 1998

For: Network Object Cache Engine

Art Unit: 2756

Examiner: Not Assigned

#8

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail, in an envelope addressed to:

Honorable Commissioner of  
Patents and Trademarks  
Washington, D.C. 20231

on Feb. 16, 1999  
Date

Arlette Malhas  
Arlette Malhas

INFORMATION DISCLOSURE STATEMENT

Honorable Commissioner of  
Patents and Trademarks  
Washington, D.C. 20231

Dear Sir:

It is requested that the document(s) on the enclosed form be made of record.

**Part I (Authority)**

This statement is filed pursuant to:

(X) 37 C.F.R. § 1.97(b).

This information disclosure statement is filed either (1) within three months of the filing date of the national applications; (2) within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application; or (3) before the mailing date of a first office action on the merits, whichever event occurs last.

Accordingly, this information disclosure statement requires no fee and no certification.

( ) 37 C.F.R. § 1.97(c).

This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97(b), but before the mailing date of either (1) a final action under 37 C.F.R. § 1.113 or (2) a notice of allowance under 37 C.F.R. § 1.311.

Accordingly, this information disclosure statement requires either the fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) (\$240), or a certification according to 37 C.F.R. § 1.97(e).

( ) 37 C.F.R. § 1.97(d).

This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97(c).

Accordingly, this information disclosure statement requires the petition fee specified in 37 C.F.R. § 1.17(i)(1) to consider an information disclosure statement under 37 C.F.R. § 1.97(d) (\$130), a certification according to 37 C.F.R. § 1.97(e), and a petition requesting consideration of the information disclosure statement.

### **Conditional Petition**

It is respectfully requested that this information disclosure statement be considered, good cause being presented in Part III herein (certification). please treat this paper as the required petition.

If this statement crosses in the mail with an office action, or is otherwise not in the indicated category of 37 C.F.R. § 1.97, it is respectfully requested that this statement be treated in the next appropriate category and made of record.

To the extent required, please treat this paper as a conditional petition for acceptance of the information disclosure statement.

### **Part II (Payment)**

Please charge any additional required fee or credit any overpayment to our Deposit Account No. 500365. An additional copy of this information disclosure statement is enclosed.

A check is enclosed as indicated:

(X) No fee is due.

( ) The fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) is enclosed (\$240).

( ) The petition fee specified in 37 C.F.R. § 1.17(i)(1) to consider an information disclosure statement under 37 C.F.R. § 1.97(d) is enclosed (\$130).

### **Part III (Certification)**

Pursuant to 37 C.F.R. § 1.97(e), I certify:

(X) No certification is necessary.

- ( ) (1) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement.
- ( ) The "communication from a foreign patent office" referred to in the certification is an International Search Report, possibly issued by the U.S. Patent and Trademark Office in its capacity as an International Search Authority or International Preliminary Examining Authority.
- ( ) The "counterpart foreign application" referred to in the certification corresponds to an ancestor or descendent application of the application for which this information disclosure statement is filed.
- ( ) (2) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c), more than three months prior to the filing of the statement.

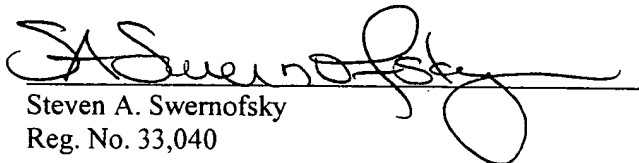
#### Part IV (Additional Statement)

An additional statement regarding these items of information ( ) is, (X) is not, enclosed.

Copies of the cited art (X) are enclosed, ( ) are of record in parent application Serial No. \_\_\_\_\_ and will be provided if the Examiner deems it convenient.

Respectfully submitted,

Dated: February 12, 1999

  
Steven A. Swernofsky  
Reg. No. 33,040

The Law Offices of  
Steven A. Swernofsky  
P.O. Box 390013  
Mountain View, CA 94039-0013  
(650) 947-0700

Please type a plus sign (+) inside this box → +

PTO/SB/08B (10-98)

Approved for use through 10/31/99. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>Substitute for form 1449B/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>		<b>Complete if Known</b>	
		<b>Application Number</b>	09/093,533
		<b>Filing Date</b>	June 8, 1998
		<b>First Named Inventor</b>	Michael Malcolm
		<b>Group Art Unit</b>	2756
		<b>Examiner Name</b>	Not Assigned
<b>Sheet</b>	<b>1</b>	<b>of</b>	<b>1</b>
		<b>Attorney Docket Number</b>	CASH-001

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials <sup>2</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		DIAS G. ET AL: "A Smart Internet Caching System" PROCEEDING OF THE INET'96 CONFERENCE, MONTREAL, CANADA, 24 -28 JUNE, 1996.	
		WANG Z ET AL: "Prefetching in World Wide Web". IEEE GLOBECOM 1996, COMMUNICATIONS: THE KEY TO GLOBAL PROSPERITY. GLOBAL INTERNET' 96. LONDON, UK, 18-22 NO., pages 28-32.	
		CHINEN K. ET AL: "An Interactive Prefetching Proxy Server for Improvement of WWW Latency" PROCEEDINGS OF THE INET' 97 CONFERENCE, KUALA LUMPUR, MALAYSIA, 24-27 JUNE 1997.	

<b>Examiner Signature</b>		<b>Date Considered</b>	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

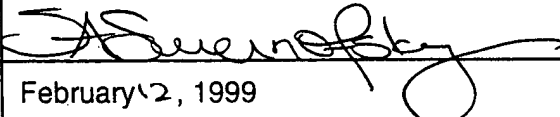
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<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	<b>Application Number</b>	09/093,533	
	<b>Filing Date</b>	June 8, 1998	
	<b>First Named Inventor</b>	Michael Malcolm	
	<b>Group Art Unit</b>	2756	
	<b>Examiner Name</b>	Not Assigned	
<b>Total Number of Pages in This Submission</b>	19	<b>Attorney Docket Number</b>	CASH-001

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> To Convert a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	PTO/SB/08B; copies of prior art Return Postcard
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	
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<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	<b>Remarks</b>	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
<b>Firm or Individual name</b>	Steven A. Swernofsky	Reg. No. 33,040
<b>Signature</b>		
<b>Date</b>	February 2, 1999	

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: February 16, 1999			
<b>Typed or printed name</b>	Arlette Malhas		
<b>Signature</b>		<b>Date</b>	February 16, 1999

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**This will acknowledge receipt of the following application papers at the U.S. Patent Office:**

Inventor(s): Michael Malcolm

Filing Date: June 8, 1998

Serial No.: 09/093,533

Entitled: Network Object Cache Engine

Papers filed: Transmittal Form SB/21; Information Disclosure Statement; and Form PTO-SB/08B (Information Disclosure Statement by Applicant).

Docket No.: CASH-001

Attorney: Steven A. Swernofsky

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Docket No.: CASH-001

Attorney: Steven A. Swernofsky

